

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Douglas M. BANEY, et al.

Serial No.:

Examiner:

Filing Date: 03/11/04

Group Art Unit:

Title: A METHOD AND SYSTEM FOR SUPERHETERODYNE DETECTION OF AN OPTICAL INPUT SIGNAL

COMMISSIONER FOR PATENTS

Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:  
☐ Statement under 37 CFR 1.97(e), or  
☐ a \$180.00 Processing fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:  
☐ Statement under 37 CFR 1.97(e), and  
☐ a \$180.00 processing fee under 37 CFR 1.17(p).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Please charge to Deposit Account **50-1078** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **50-1078** pursuant to 37 CFR 1.25.

☐ Applicant(s) submit herewith Form PTO 1449. References identified with an asterisk (\*) were disclosed in Patent Application No. \_\_\_\_\_ filed \_\_\_\_\_, now U. S. Patent No. \_\_\_\_\_, and, as such, copies thereof are not included pursuant to the provisions of 37 CFR 1.98(d).

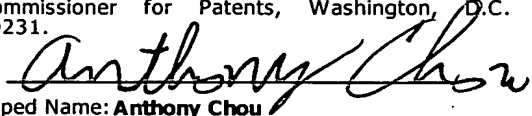
☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

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I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Washington, D.C. 20231.

By



Typed Name: **Anthony Chou**

Respectfully submitted,

**Douglas M. BANEY, et al.**

By



**John P. Wagner, Jr.**

Attorney/Agent for Applicant(s)  
Reg. No. **35,398**

Date: **03/11/04**

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

10021233-1

SERIAL NO.

APPLICANT

Douglas M. BANEY, et al.

FILING DATE

03/11/04

GROUP

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL | * | DOCUMENT NUMBER | DATE          | NAME             |
|---------------------|---|-----------------|---------------|------------------|
|                     |   | 4,553,264       | Nov. 12, 1985 | Hasegawa, et al. |
|                     |   |                 |               |                  |
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## FOREIGN PATENT DOCUMENTS

|  |  | DOCUMENT<br>NUMBER | DATE | NAME | TRANSLATION |    |
|--|--|--------------------|------|------|-------------|----|
|  |  |                    |      |      | YES         | NO |
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|  |  |                    |      |      |             |    |

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

|  |  |   |
|--|--|---|
|  |  | Szafraniec, et al.; "POLARIZATION-DIVERSE COHERENT OPTICAL SPECTRUM ANALYZER WITH SWEPT LOCAL OSCILLATOR"; ThGG5 5:30 pm; 2 sheets. |
|  |  | BANEY, et al.; "COHERENT OPTICAL SPECTRUM ANALYZER"; IEEE Photonics Technology Letters, Vol. 14, No. 3.; March 2002; pages 355-357. |
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| EXAMINER | DATE CONSIDERED |
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\*Copies of these references are not enclosed pursuant to 37 CFR 1.98(d). (See accompanying IDS)